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PTO/SB/05 (4-98)

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(d))

Attorney Docket No. **SUN-P4175**First Inventor or Application Identifier **Judith E. Schwabe**Title **API Representation Enabling Submerged...**Express Mail Label No. **EL575422638US****APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and 2 duplicates for fee processing)
2.  Specification [Total Pages] **24**  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to Microfiche Appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
3.  Drawing(s) (35 U.S.C. 113) [Total Sheets] **10**
4. Oath or Declaration [Total Pages] **4**
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 C.F.R. § 1.83(d))
    - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting  
Inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.83(d)(2) and 1.33(b).

**NOTE FOR ITEM 4b: IF A SMALL ENTITY STATEMENT IS REQUESTED ON C.F.R. § 1.77, EXCEPT FOR ONE DOCUMENT, A PHOTOGRAPH OF THE APPLICANT'S SIGNATURE UPON OMB FORM GSA F-271**

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

5.  Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a.  Computer Readable Copy
  - b.  Paper Copy (Identical to computer copy)
  - c.  Statement verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

7.  Assignment Papers (cover sheet & document(s))
8.  37 C.F.R. § 3.73(b) Statement  Power of  
(when there is an assignee)  Attorney
9.  English Translation Document (if applicable)
10.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS  
Citations
11.  Preliminary Amendment
12.  Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
13.  Small Entity Statement(s)  Statement filed in prior application,  
(PTO/SB/05-12) Status still proper and desired
14.  Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15.  Other: \_\_\_\_\_

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation     Divisional     Continuation-in-part (CIP)    of prior application No: \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_

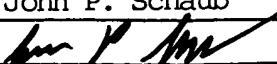
Group / Art Unit \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**

Customer Number or Bar Code Label  or  Correspondence address below  
(Insert Customer Num or Attach Bar code label here)

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|-----------|--|-----------|--------------|
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|                   |   |                                   |         |
|-------------------|---|-----------------------------------|---------|
| Name (Print/Type) | John P. Schaub  | Registration No. (Attorney/Agent) | 42,125  |
| Signature         |  | Date                              | 9/14/00 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Judith E. Schwabe

Serial No.: [Not yet assigned] This application is a non-provisional patent application of provisional application Serial No.: 60/165,298 filed November 12, 1999, and provisional application Serial No. 60/165,533 filed November 15, 1999.

Filed: September 14, 2000

**For: API REPRESENTATION  
ENABLING SUBMERGED HIERARCHY**

Art Unit: Not yet assigned

Examiner: Not yet assigned

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09/662258  
09/14/00

**CERTIFICATE OF MAILING**

"Express Mail" mailing label no: EL575422638US

Date of Deposit: September 14, 2000

I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to:

Box Patent Application  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Diane Morse

**TRANSMITTAL LETTER**

Honorable Assistant Commissioner  
for Patents  
Box Patent Application  
Washington, D.C. 20231

Dear Sir:

Enclosed for filing please find the patent application for an invention entitled,  
**"API REPRESENTATION ENABLING SUBMERGED HIERARCHY"**, filed on behalf  
of Sun Microsystems, Inc., assignee from inventor Judith E. Schwabe, including Utility  
Patent Application Transmittal, 18 pages of specification, 5 pages of claims, 10 sheets of

SUN-P4175

drawing figures, and **Page** of Abstract. Also enclosed herewith are the Declaration & Power of Attorney. The attorney's Docket Number is SUN-P4175.

Kindly address all communications regarding this application to:

David B. Ritchie  
D'Alessandro & Ritchie  
P.O. Box 640640  
San Jose, CA 95164-0640  
Telephone (408) 441-1100

A check in the amount of \$924.00 is enclosed for the filing fee for a large entity, calculated as follows:

|                                       |           |
|---------------------------------------|-----------|
| Basic Filing Fee (Large entity):      | \$ 690.00 |
| 3 Additional Independent Claims:      | \$ 234.00 |
| 0 <u>Additional Dependent Claims:</u> | \$ .00    |
| Total Filing Fee:                     | \$ 924.00 |

In the event any variance exists between the amount enclosed and the Patent Office charges for filing the above-noted documents, the Assistant Commissioner is hereby authorized to charge or credit the difference to our Deposit Account No. 04-0025.

A duplicate of this page is enclosed.

Respectfully submitted,  
D'ALESSANDRO & RITCHIE

  
John P. Schaub  
Reg. No. 42,125

Dated: September 14, 2000

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